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PTO/SB/21 (08-00)  
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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/939,784
Filing Date	08/28/2001
First Named Inventor	Zhengchen YUE
Group Art Unit	2633
Examiner Name	
Attorney Docket Number	033337-0125

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Total Number of Pages in This Submission 5

## ENCLOSURES (check all that apply)


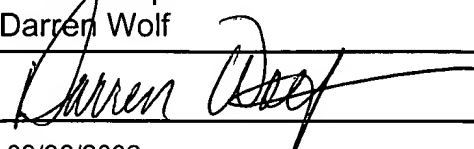
- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

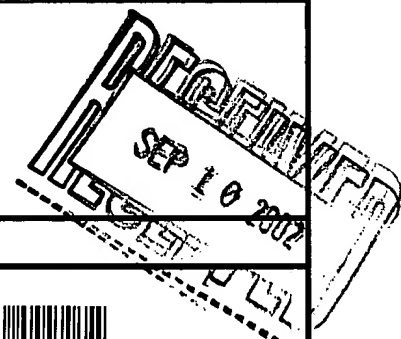
- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
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- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):  
Form 1449, 56 References, and a Return Post Card

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Corvis Corporation Darren Wolf	
Signature		21398 PATENT TRADEMARK OFFICE
Date	08/30/2002	



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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Zhengchen Yu, et al.

For: Terminals Having Sub-Band Substitute Signal Control In  
Optical Communication Systems

Serial No. : 09/939,784 :Docket No.033337-0125  
Filing Date : Aug. 28, 2001 :  
Group No. 2600 :Art Unit 2633 :Examiner

INFORMATION DISCLOSURE STATEMENT

Commissioner of Patents  
Washington, D.C. 20231

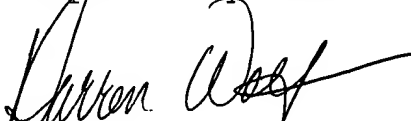
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Sir:

Applicant, in accordance with the duty of disclosure pursuant to 37 C.F.R. § 1.56, hereby advises the United States Patent and Trademark Office of the references listed on the accompanying Form PTO 1449 "Information Disclosure Statement by Applicant". A copy of the references cited herein is included. No fee is submitted herewith because this Statement is being filed before the mailing of the first Office Action.

Applicant notes that although the cited references may be relevant to the examination of the above-referenced application, under 37 C.F.R. § 1.97, the filing of this Information Disclosure Statement "shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b)."

Respectfully submitted,

  
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August 30, 2002